

Substance Abuse Prevention and Treatment Block Grant Monitoring Checklist

Program Name: _____

Reviewer Name: _____

Date(s) of Review: _____

Instructions: Using the key below, please complete all applicable sections of this checklist by placing the letter that best describes the program's compliance with each SAPT Block Grant requirement:

Y = "Yes," the program meets all the conditions of the requirement.

N = "No," the program does not meet any of the conditions of the requirement.

P = The program is in "Partial" compliance but does not meet all the conditions of the requirement.

N/A = This requirement is "Not Applicable" to the program.

§ 96.124 Certain Allocations: (*Required Services for Programs Receiving Block Grant Funds Set Aside for Pregnant Women and Women with Dependent Children*)

The County and/or vendor/sub-contractor **must** offer priority admission, either through immediate admission or priority placement on a waiting list, to pregnant women. The County and/or vendor/sub-contractor will provide interim services to pregnant women on a waiting list. If the County and/or vendor/subcontractor has insufficient capacity to provide interim services, the County and/or vendor/sub-contractor will **immediately** notify the Department's contract administrator to coordinate the provision of interim services. The amount set aside for women's services shall be expended on individuals who have no other financial means of obtaining such services as provided in §96.137.

If the program receives Block Grant funds set aside for pregnant women and women with dependent children (including women attempting to regain custody of their children), complete items (1.) through (7.). If the program does not receive these funds, skip to item (8.).

- ☐ 1. The program treats the family as a unit and, therefore, admits both women and their children into treatment services, if appropriate.¹
- ☐ 2. The program provides or arranges for primary medical care for women who are receiving substance abuse services, including prenatal care.

¹ Such an admission may not be appropriate; however, if for example, the father of the child(ren) is able to adequately care for the child(ren).

- ☐ 3. The program provides or arranges for child care while the women are receiving services.
- ☐ 4. The program provides or arranges for primary pediatric care for the women's children, including immunizations.
- ☐ 5. The program provides or arranges for gender-specific substance abuse treatment and other therapeutic interventions for women that may address issues of relationships, sexual abuse, physical abuse, and parenting, and child care while the women are receiving these services.
- ☐ 6. The program provides or arranges for therapeutic interventions for children in custody of women in treatment which may, among other things, address the children's developmental needs, their issues of sexual and physical abuse, and neglect.
- ☐ 7. The program provides or arranges for sufficient case management and transportation services to ensure that the women and their children have access to the services provided by (2.) through (6.) above.

Comments: _____

§ 96.126 Capacity of Treatment for Intravenous Drug Abusers

If the program treats individuals for intravenous substance abuse, complete items (8.) through (15). Otherwise, skip to item (16.).

- ☐ 8. Within 7 days of reaching 90 percent of its treatment capacity, the program notifies the State that 90 percent of the capacity has been reached.
- ☐ 9. The program admits each individual who requests and is in need of treatment for intravenous drug abuse not later than:
 - (a.) 14 days after making the request *or*
 - (b.) 120 days if the program has no capacity to admit the individual on the date of the request and, within 48 hours after the request, the program makes interim services available until the individual is admitted to a substance abuse treatment program
- ☐ 10. When applicable, the program offers interim services that include, at a minimum², the following:

² Interim services may also include federally approved interim methadone maintenance.

- (a.) Counseling and education about HIV and tuberculosis (TB), about the risks of needle-sharing, the risks of transmission to sexual partners and infants, and about steps that can be taken to ensure that HIV and TB transmission does not occur
 - (b.) Referral for HIV or TB treatment services, if necessary
 - (c.) Counseling on the effects of alcohol and other drug use on the fetus for pregnant women, as well as referral for prenatal care
- ☐ 11. The program has established a waiting list that includes a unique patient identifier for each injecting drug abuser seeking treatment, including patients receiving interim services while awaiting admission.
- ☐ 12. The program has a mechanism that enables it to:
 - (a.) Maintain contact with individuals awaiting admission
 - (b.) Admit or transfer waiting list clients at the earliest possible time to an appropriate treatment program within a reasonable geographic area
- ☐ 13. The program takes clients awaiting treatment for intravenous substance abuse off the waiting only when one of the following conditions exists:
 - (a.) Such persons cannot be located for admission into treatment *or*
 - (b.) Such persons refuse treatment
- ☐ 14. The program carries out activities to encourage individuals in need of treatment services for intravenous drug abuse to undergo such treatment by using scientifically sound outreach models, if no such models are applicable to the local situation, another approach which can reasonably be expected to be an effective outreach method.
- ☐ 15. The program ensures that outreach efforts have procedures including the following:
 - (a.) Selecting, training, and supervising outreach workers
 - (b.) Contacting, communicating, and following up with high-risk substance abusers, their associates, neighborhood residents within the constraints of Federal and State confidentiality requirements, and 42 C.F.R. Part 2
 - (c.) Promoting awareness among injecting drug abusers about the relationship between injecting drug abuse and communicable diseases such as HIV
 - (d.) Recommending steps that can be taken to ensure that HIV transmission does not occur
 - (e.) Encouraging entry into treatment

Comments: _____

§ 96.127 Requirements Regarding Tuberculosis

- ☐ 16. The program directly, or through arrangements with other public or nonprofit private entities, routinely makes available the following TB services to each individual receiving treatment for substance abuse:
- (a.) Counseling the individual with respect to TB
 - (b.) Testing to determine whether the individual has been infected with mycobacterium TB to determine the appropriate form of treatment for the individual
 - (c.) Providing for or referring the individuals infected by mycobacterium TB appropriate medical evaluation and treatment
- ☐ 17. For clients denied admission to the program on the basis of lack of capacity, the program refers such clients to other providers of TB services.
- ☐ 18. The program has implemented the infection control procedures that are consistent with those established by the Department to prevent the transmission of TB and that address the following:
- (a.) Screening patients and identification of those individuals who are at high risk of becoming infected
 - (b.) Meeting all State reporting requirements while adhering to Federal and State confidentiality requirements, including 42 CFR part 2
 - (c.) Case management activities to ensure that individuals receive such services
- ☐ 19. The program reports all individuals with active TB as required by State law and in accordance with Federal and State confidentiality requirements, including 42 CFR part 2.

Comments: _____

§ 96.128 Requirements Regarding HIV

Wisconsin is **not** a designated State; therefore, Wisconsin **may not** use **any** Substance Abuse Prevention and Treatment (SAPT) block grant funds for HIV early intervention programs/services. As a non-designated state, users of illicit substances may receive HIV services through Ryan White Comprehensive AIDS Resources Emergency (CARE) Act programs. A report, *Investigation of the Adequacy of the Community Planning Process to Meet the HIV Care Needs of Active Substance Users*, provides recommendations on how more effectively to use Title I funds to meet the needs of the substance-using population.

Any SAPT block grant funds used for HIV early intervention programs will be subject to repayment to the Substance Abuse and Mental Health Services Administration, which provides SAPT block grant funds to states. All Wisconsin programs and providers receiving Substance Abuse Prevention and Treatment Block Grant funds must ensure adherence to items (20.) through (25.).

- ☐ 20. ***Substance Abuse Prevention and Treatment Block Grant funds MAY NOT be used*** for any program to make appropriate pretest counseling for HIV and AIDS available at the sites at which the individuals are undergoing treatment for substance abuse.
- ☐ 21. ***Substance Abuse Prevention and Treatment Block Grant funds MAY NOT be used*** for any program to make available, at the sites at which the individuals are undergoing treatment for substance abuse, appropriate HIV/AIDS testing, including tests to diagnose the extent of the deficiency in the immune system and tests to provide information on appropriate therapeutic measures for preventing and treating the deterioration of the immune system and for preventing and treating conditions arising from the disease available.
- ☐ 22. ***Substance Abuse Prevention and Treatment Block Grant funds MAY NOT be used*** for any program to make available appropriate post-test counseling at the sites at which the individuals are undergoing treatment for substance abuse.
- ☐ 23. ***Substance Abuse Prevention and Treatment Block Grant funds MAY NOT be used*** for any program to make available, at the sites at which individuals are undergoing treatment for substance abuse, therapeutic measures for preventing and treating the deterioration of the immune system and for preventing and treating conditions arising from the disease.
- ☐ 24. ***Substance Abuse Prevention and Treatment Block Grant funds MAY NOT be used*** for any program that has established linkages with a comprehensive community resource network of related health and social services organizations to ensure a wide-based knowledge of the availability of these services and to facilitate referral.
- ☐ 25. ***Substance Abuse Prevention and Treatment Block Grant funds MAY NOT be used*** for any program to ensure that HIV early intervention services provided with patients' informed consent, and are not required as a condition of receiving substance abuse treatment or any other services.

Comments: _____

§ 96.131 Treatment Services for Pregnant Women

- ☐ 26. The program gives preference in admission to pregnant women who seek or are referred for and would benefit from Block Grant-funded treatment services. Further, all entities that serve women and who receive block grant funds must provide preference in the following order:
- (a.) To pregnant injecting drug users first
 - (b.) To other pregnant substance abusers second
 - (c.) To other injecting drug users third
 - (d.) To all others individuals fourth

Wisconsin programs receiving Block Grant funds must publicize to women of services from the facilities and the fact that pregnant women receive such preference. This may be done in the following ways: street outreach programs, ongoing public service announcements (radio/television), regular advertisements in local/regional print media, posters placed in targeted areas, and frequent notification of availability of such treatment distributed to the network of community based organizations, health care providers and social service agencies.

- ☐ 27. The program refers pregnant women to the State when the program has insufficient capacity to provide services to any such pregnant women who seek the services of the program.
- ☐ 28. The program makes available interim services within 48 hours to pregnant women who cannot be admitted because of lack of capacity.

Comments: _____

§ 96.132 Additional Requirements

- ☐ 29. The program makes continuing education in treatment services available to employees who provide the services.
- ☐ 30. The program has in effect a system to protect patient records from inappropriate disclosure, and the system:
- (a.) Is in compliance with all applicable State and Federal laws and regulations, including 42 CFR part 2
 - (b.) Includes provisions for employee education on the confidentiality requirements and the fact that disciplinary action may occur upon inappropriate disclosure

Comments: _____

§ 96.135 Restrictions on the Expenditure of the Grant

Vendor/Sub-Contractor Compliance

When a sub-contract is issued by the County to purchase services utilizing Block Grant funds, conditions 1-8 on prohibited expenditures and the condition of first priority of services to pregnant women must be adhered to and monitored by the County. Counties should develop a policy to ensure that all vendors/sub-contractors comply with all of the requirements.

- ☐ 31. The program does not expend SAPT Block Grant funds to provide inpatient hospital substance abuse services, except in cases when each of the following conditions is met[42 USC 300x-31(a) and (b), 45 CFR]:
- (a.) The individual cannot be effectively treated in a community-based, non-hospital, residential program
 - (b.) The daily rate of payment provided to the hospital for providing the services does not exceed the comparable daily rate provided by a community-based, non-hospital, residential treatment program
 - (c.) A physician makes a determination that the following conditions have been met:
 - (i.) The primary diagnosis of the individual is substance abuse and the physician certifies that fact
 - (ii.) The individual cannot be safely treated in a community-based, non-hospital, residential treatment program
 - (iii.) The service can reasonably be expected to improve the person's condition or level of functioning
 - (iv.) The hospital-based substance abuse program follows national standards of substance abuse professional practice
 - (d.) The service is provided only to the extent that it is medically necessary (e.g., only for those days that the patient cannot be safely treated in a residential, community-based program)
- ☐ 32. The program does not expend SAPT Block Grant funds to make payments to intended recipients of health services [42 USC 300x-31(a), 45 CFR section 96.135(a)(2)].
- ☐ 33. The program does not expend SAPT Block Grant funds to purchase or improve land; purchase, construct, or permanently improve (other than minor remodeling) any building or other facility; or purchase major medical equipment [42 USC 300x-31(a),

45 CFR section 96.135(a)(3) and (d)].

- ☐ 34. The program does not expend SAPT Block Grant funds to satisfy any requirement for the expenditure of non-Federal funds as a condition for the receipt of Federal funds [42 USC 300x-31(a), 45 CFR section 96.135(a)(4)].
- ☐ 35. The program does not expend SAPT Block Grant funds to provide financial assistance to any entity other than a public or nonprofit private entity [42 USC 300x-31(a), 45 CFR section 96.135(a)(5)].
- ☐ 36. The program does not expend SAPT Block Grant funds to provide individuals with hypodermic needles or syringes [42 USC 300x-31(a), 45 CFR section 96.135(a)(2)].
- ☐ 37. The program does not expend SAPT Block Grant funds to provide treatment services in penal or correctional institutions of the State (exceptions are based on statewide formulas).

§ 96.137 Payment Schedule

- ☐ 38. The program uses the Block Grant as the “payment of last resort” for services for pregnant women and women with dependent children, TB services, and HIV services and, therefore, makes every reasonable effort to do the following:
 - (a.) Collect reimbursement for the costs of providing such services to persons entitled to insurance benefits under the Social Security Act, including programs under title XVIII and title XIX; any State compensation program, any other public assistance program for medical expenses, any grant program, any private health insurance, or any other benefit program
 - (b.) Secure from patients or clients’ payments for services in accordance with their ability to pay

Comments:

All Programs are Strongly Encouraged to Provide the Following Substance Abuse Services for to Women

The program provides pregnant women, women with dependent children, and their children, either directly or through linkages with community-based organizations, a comprehensive range of services to include:

- (1.) Case management to assist in establishing eligibility for public assistance programs provided by Federal, State, or local governments
- (2.) Employment and training programs
- (3.) Education and special education programs
- (4.) Drug-free housing for women and their children
- (5.) Prenatal care and other health care services
- (6.) Therapeutic day care for children
- (7.) Head Start
- (8.) Other early childhood programs